

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

REC'D 30 JUL 2004

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Applicant's or agent's file reference FES/PF4879/WO	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/EP 03/07615	International filing date (day/month/year) 11.07.2003	Priority date (day/month/year) 12.07.2002
International Patent Classification (IPC) or both national classification and IPC A61K31/445		
Applicant GLAXO GROUP LIMITED et al.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of 5 sheets, including this cover sheet.
- ☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).
- These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the opinion
- II ☐ Priority
- III ☒ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand 27.01.2004	Date of completion of this report 29.07.2004
Name and mailing address of the international preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized Officer Bérillon, L Telephone No. +49 89 2399-7078 

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International application No. **PCT/EP 03/07615**

I. Basis of the report

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

Description, Pages

1-42 as originally filed

Claims, Numbers

1-14 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
☐ the language of publication of the international application (under Rule 48.3(b)).
☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
☐ filed together with the international application in computer readable form.
☐ furnished subsequently to this Authority in written form.
☐ furnished subsequently to this Authority in computer readable form.
☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of: - - - - -

- ☐ the description, pages:
☐ the claims, Nos.:
☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)

6. Additional observations, if necessary:

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III. Non-establishment of opinion with regard to novelty, inventive step and industrial applicability

1. The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious), or to be industrially applicable have not been examined in respect of:

☐ the entire international application,

☒ claims Nos. 1-14 (part)

because:

☐ the said international application, or the said claims Nos. relate to the following subject matter which does not require an international preliminary examination (specify):

☐ the description, claims or drawings (*indicate particular elements below*) or said claims Nos. are so unclear that no meaningful opinion could be formed (*specify*):

☐ the claims, or said claims Nos. are so inadequately supported by the description that no meaningful opinion could be formed.

☒ no international search report has been established for the said claims Nos. 1-14 (part)

2. A meaningful international preliminary examination cannot be carried out due to the failure of the nucleotide and/or amino acid sequence listing to comply with the standard provided for in Annex C of the Administrative Instructions:

☐ the written form has not been furnished or does not comply with the Standard.

☐ the computer readable form has not been furnished or does not comply with the Standard.

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Yes: Claims	1-14 (part)
	No: Claims	
Inventive step (IS)	Yes: Claims	
	No: Claims	1-14 (part)
Industrial applicability (IA)	Yes: Claims	1-14 (part)
	No: Claims	

2. Citations and explanations

see separate sheet

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Item V

- 1 Only part of the claims in respect of which an International Search Report has been established will be examined i.e. part of the application relating to compounds of formula (I) wherein Ar1 is (i): phenyl, naphthyl, or phenyl fused by a C₃₋₈-cycloalkyl (Rule 66.1(e) PCT).

- 2 Prior art

Reference is made to the following documents:

D1: WO 2002 055497 A

D2: WO 01 06261 A

D3: US-A-5 767 131

D4: J. MED. CHEM. 1985, vol. 28, no. 6, p. 815-818

The priority document pertaining to the present application was not available at the time of establishing this international preliminary examination report. Hence, it is based on the assumption that all claims enjoy priority rights from the filing date of the priority document. If it later turns out that this is not correct, the P-document D1 cited in the international search report could become relevant to assess whether the claims satisfy the criteria set forth in Article 33(1) PCT.

- 3 Novelty (Article 33(2) PCT)

The compounds of the present application are novel over D2-D4 in view of the R1 substituent on the Ar1.

- 4 Inventive step (Article 33(3) PCT)

The Applicant appears to have set himself the task of making available further compounds useful for treating conditions resulting from elevated levels of LDL-cholesterol.

D2 and D3 which represent the closest prior art disclose closely related piperidine derivatives i.e. 1-arylpiperidines attached to an aryl group or heterocyclic group via a linking chain containing an amide linker. In addition said compounds of D2 and D3

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provide a solution to the above mentioned technical problem (see D2, claim 1 and D3 claim 15). Therefore, in the absence of any unexpected effect established by comparative tests or other appropriate information the present compounds are considered obvious vis a vis D2-D3.